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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

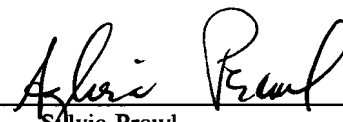
jc926 U.S. PTO  
09/685398  
10/10/00

INVENTORS: James R. Kraemer  
APPLICATION NO. Not Yet Assigned  
FILED: Herewith  
CASE: RSW9-2000-0107-US1  
TITLE: SYSTEM AND METHOD FOR AUTOMATICALLY  
REBALANCING PORTFOLIOS BY SINGLE RESPONSE

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CERTIFICATE OF EXPRESS MAILING

I certify that this document and fee is being deposited with the U.S. Postal Service as first class mail, postage prepaid, in an envelope addressed to the Commissioner for Patents, Washington, DC 20231 on October 10, 2000.

  
Sylvia Prawl

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Commissioner for Patents  
Washington, DC 20231

Information Disclosure Statement  
Pursuant to 37 C.F.R. §§1.56, 1.97 and 1.98

Sir:

Pursuant to Applicants' duty of disclosure set forth in 37 CFR §§1.56, 1.97 and 1.98, the following information is disclosed to aid the Examiner in his or her examination of the application. The inclusion of information in this Disclosure Statement and as set forth on the attached Forms PTO-1449 is not necessarily a concession that such information is prior art to the present invention or that such information is in an art area analogous to the present invention. Copies of the publications listed on the attached Forms PTO-1449 are submitted herewith.

Docket No. RSW9-2000-0107-US1

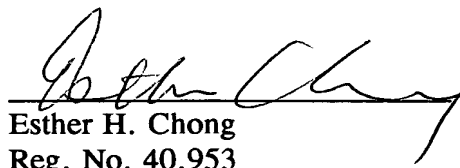
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It is respectfully requested that the Examiner initial Forms PTO-1449 and return a copy of same upon consideration of these publications.

Since this Information Disclosure Statement is being filed prior to the mailing date of a first Office Action on the merits, no fee or certification is required.

Respectfully submitted,

Date: October 10, 2000

  
Esther H. Chong  
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M:\EChong\IBM\24275\IDS transmittal.wpd

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
RSW9-2000-0053

In Re Application Of: **James R. Kraemer**

Serial No.

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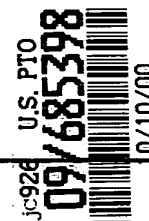
Filing Date

Herewith

Examiner

Group Art Unit

Title: **SYSTEM AND METHOD OF SOLVING OPTIMIZATION PROBLEMS USING PRESTORED  
ADVANCED BASES**



Address to:  
Assistant Commissioner for Patents  
Washington, D.C. 20231

**37 CFR 1.97(b)**

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:

1. a Final Action under 37 CFR 1.113, or
2. a Notice of Allowance under 37 CFR 1.311,

whichever occurs first.

Also submitted herewith is:

- ☐ a certification as specified in 37 CFR 1.97(e);

**OR**

- ☐ the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
RSW9-2000-0107-US1

In Re Application Of: **James R. Kraemer**

Serial No.

Filing Date  
Herewith

Examiner

Group Art Unit

Title: **SYSTEM AND METHOD FOR AUTOMATICALLY REBALANCING PORTFOLIOS BY SINGLE RESPONSE**

jc926 U.S. PTO  
09/685398  
10/10/00

**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☒ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 50-0629 as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of \_\_\_\_\_
- ☐ Credit any overpayment.
- ☒ Charge any additional fee required.

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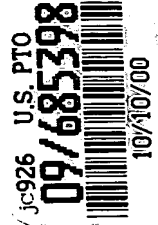
*Esther H. Chong*  
Signature

Dated: **October 10, 2000**

**Esther H. Chong, Esquire**  
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CC:

Attorney Docket: RSW9-2000-0107-US1



**CERTIFICATE OF MAILING**

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Signature

A handwritten signature in cursive script, appearing to read "Sylvia Prawl", written over a horizontal line.

Sylvia Prawl

Print Name